



Guideline  
Application Response

Version 1.0



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## NES Guideline - Application Response

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### 1 introduction

The Northern European Subset (NES) group was established to enable interoperability of procurement data between users of the Universal Business Language (UBL). UBL is a royalty-free library of XML documents addressing the requirements of electronic procurement and international trade and transportation. Its second version (UBL 2.0) was released as an OASIS standard in December 2006. NES members contributed extensively to the development of this version of the standard.

The focus of NES is to define the specific use of UBL 2.0 electronic procurement documents domestically and between the member countries. The definition covers semantic interoperability within and between all business sectors, public and private.

This guideline is one of a series of documents describing the purpose and use of the business documents that comprise the NES subset of UBL 2.0.

All cardinalities shown in this document represent elements and associations at NES library level; see 'NES Information Model Architecture' for further information.

#### 1.1 purpose

The purpose of this guideline is to explain topics regarding the use of Application Response.

#### 1.2 summary

- Application Response is a business document in the same sense as business documents such as Invoice and Order
- Application Response document is a document for exchanging information about approval and rejection of received documents
- Application Response is used to reject a document:
  - for technical reasons, such as semantics or syntax-related issues, or
  - because the receiver does not support the profile specified within the received document. or
  - for business related reasons
- Application Response is used to accept a document for business reasons (except Order which uses Order Response or Order Response Simple)
- when Application Response is used for reliable messaging, it may be used to indicate the acceptance of a document at profile level



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### 2 Application Response classes and elements

#### 2.1 Profile ID

The ProfileID for an Application Response must usually be the same as the ProfileID specified in the received document. If, for example, an Invoice is received which contains the ProfileID "*urn:www.nesubl.eu:profiles:profile7:ver1.0*", and this document is rejected at a business level, the Profile ID of the Application Response must be "*urn:www.nesubl.eu:profiles:profile7:ver1.0*".

It is also used where the recipient does not support receipt of the document with the specified profile. If, for example, an Invoice is received with the ProfileID "*urn:www.nesubl.eu:profiles:profile6:ver1.0*" and the recipient does not support this profile, the Profile ID of the Application Response must be "NONE".

If a document which has an invalid value specified in ProfileID is received, or if it is otherwise technically invalid, the value "NONE" should be entered in the Profile ID.

#### 2.2 ID

The Application Response has an ID which must be unique to the sender. A UUID may be used as a supplement to ensure universal uniqueness.

##### 2.2.1 Application Response elements

name	definition	cardinality
UBLVersionID	the earliest version of the UBL 2 schema for this document type that defines all of the elements that might be encountered in the current instance	1
CustomizationID	identifies a user-defined customization of UBL for a specific use	1
ProfileID	identifies a user-defined profile of the customization of UBL being used	1
ID	an identifier for the Application Response assigned by the sender	1
UUID	a universally unique identifier for an instance of this document	0..1
IssueDate	the date assigned by the sender's application on which the Application Response was created	1

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ResponseDate	the date at which the information in the response was created	0..1
ResponseTime	the time at which the information in the response was created	0..1
Note	free-form text applying to the Application Response. This element may contain notes or any other similar information that is not contained explicitly in another structure	0..n
VersionID	identifies the current version of this document	0..1
<i>Signature</i>	an association to Signature see 'NES Guideline - Signature' for detailed information on Signature	0..n
<i>SenderParty</i>	an association to the Party sending this document. see 'NES Guideline - Party' for detailed information on Party	1
<i>ReceiverParty</i>	an association to the Party receiving this document see 'NES Guideline - Party' for detailed information on Party	1
<i>DocumentResponse</i>	a response to one or more documents	1..n

### 2.3 Document Response

The Document Response class is used to give information about the processing of a particular document and as a reference to the document being processed.

The class has three associations:

- Response: used to specify a reference to the document that is processed. If the document is processed as an entity, this will also be specified here
- Document Reference: used to identify the document that the Application Response pertains to
- Line Response: used to identify the individual lines of the document that the Application Response pertains to, as well as their processing status

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The Document Reference is used to specify a reference to the document that the Application Response pertains to. The ID, Issue Date and Document Type Code should always be specified for the reference document.

If these data are not available in the received document, the value in the Document Reference ID is set to "1", the Issue Date and the Document Type Code should be omitted.

### 2.3.1 DocumentResponse elements

name	definition	cardinality
<i>Response</i>	an association to Response	1
<i>DocumentReference</i>	an association to Document Reference	1
<i>IssuerParty</i>	the Party that issues the document see 'NES Guideline - Party' for detailed information on Party	0..1
<i>RecipientParty</i>	the Party for which the document is intended see 'NES Guideline - Party' for detailed information on Party	0..1
<i>LineResponse</i>	an association to Line Response	0..1

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### 2.3.2 DocumentResponse.Response elements

The Response Code is crucial as this specifies processing status of the referenced document. This may be an acceptance or rejection of the document and a specification of the acceptance/rejection type e.g. technical, profile, or business-related.

This code may also occur at line level: see 2.5.3 below. For most documents the code is only relevant at document level as the entire document is accepted or rejected.

The Document Response elements used in Application Response are as follows:

name	definition	cardinality
ReferenceID	identifies the section (or line) of the document to which the response applies	1
ResponseCode	a code for the description of the response to the transaction document	1
Description	the description of the response to the transaction document	0..n

### 2.3.3 DocumentResponse.LineResponse elements

The Response Code is crucial as this specifies processing status of the referenced document. This may be an acceptance or rejection of the document and a specification of the acceptance/rejection type e.g. technical, profile, or business-related.

This code may also occur at line level: see 2.5.3 below. For most documents the code is only relevant at document level as the entire document is accepted or rejected.

The Line Response and associated elements used in Application Response are as follows:

name	definition	cardinality
<i>LineReference</i>	an association to Line Reference	1
<i>Response</i>	an association to Line Response	1..n

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### 2.3.4 DocumentResponse.Line Response.LineReference elements

Line Response is used to give information about the processing status of the document at line level.

For certain documents, such as Invoice and Credit Note, the code is only relevant at document level, as the entire document is accepted or rejected. Line level status information in these documents is only informative.

For other documents, such as the Catalogue documents, the code specified at line level may be relevant as individual lines may be accepted or rejected.

The Line ID must always be that of the document that the Application Response refers to.

name	definition	cardinality
LineID	identifies the Line on the referenced document.	1

### 2.3.5 DocumentResponse.LineResponse.Response elements

name	definition	cardinality
ReferenceID	identifies the section (or line) of the document to which the response applies	1
ResponseCode	a code for the description of the response to the transaction document	1
Description	the description of the response to the transaction document	0..n

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### 3 description

The Application Response is used in all situations to exchange information about the processing of a document, including the Application Response document itself.

The use of the Application Response has three main purposes:

- technical rejection
- profile rejection
- business level acceptance/rejection

The Application Response has two status types; 'Accept' and 'Reject'. An Accept can only be business-related, therefore no Application Response is returned if a document is technically valid, or if it conforms with its profile.

Consequently, there are no intermediary types such as conditional acceptances. Therefore the transmission of an 'Accept' Application Response transfers the responsibility for processing the document to the recipient.

On the other hand, the transmission of a 'Reject' Application Response means that the responsibility for the continued processing of the document lies with its original sender.

Received documents are processed in sequence:

1. technical validation
2. profile validation
3. business level acceptance/rejection

This means that, for example, if the sender receives an Application Response with the Response Code 'ProfileReject', the document is technically valid; no 'TechnicalAccept' Application Response is sent.

#### 3.1 technical validation

Technical validation is concerned with the form and format of a document e.g. semantics and syntax. Technical validation usually involves the use of schema or schematron, but also involves other systematic processing checks.

Technical validation bears no relevance to the to purpose of the document or its content. This means that, for example, an Order that is valid at a business level may be rejected at the technical validation stage because it is not schematron valid or it simply cannot be decoded.

A sender receiving a 'TechnicalReject' Application Response should treat the document as if it had never been received by the recipient. For example, a sender should not expect payment for a technically rejected Invoice.

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### 3.2 profile validation

Profile validation is concerned with the alignment of the document with a NES profile.

A profile specifies which documents a given Party can send and receive in a business process and every document must specify the profile it follows.

For example, in NES an Invoice may have one of the following values as ProfileID:

- *urn:www.nesubl.eu:profiles:profile4:ver1.0* (Basic Invoice Only)
- *urn:www.nesubl.eu:profiles:profile5:ver1.0* (Basic Billing)
- *urn:www.nesubl.eu:profiles:profile6:ver1.0* (Basic Procurement)
- *urn:www.nesubl.eu:profiles:profile7:ver1.0* (Simple Procurement)

If the sender specifies the ProfileID *urn:www.nesubl.eu:profiles:profile7:ver1.0* (Simple Procurement), but the recipient only supports *urn:www.nesubl.eu:profiles:profile5:ver1.0* (Basic Billing), there is a conflict between the sender's expectations and the capabilities of the recipient.

The recipient sends a 'ProfileReject' Application Response and the sender can then adjust his expectations (ProfileID) to match the recipient's capabilities, and send the adjusted document.

For reliable messaging, a 'ProfileAccept' Application Response may be used to indicate to the sender that, although not yet accepted on a business level, the document sent has passed technical and profile validation.

Profile validation is important in ensuring interoperability because the content of a given document is liable to change in accordance with the business process it supports.

### 3.3 business level validation

Business level validation is concerned with a document's purpose and content (and nothing to do with its semantics, syntax or profile alignment).

It should be noted that, in NES, special conditions apply to the use of the Application Response with respect to the ordering phase. In this phase Order Response Simple and Order Response are used instead of Application Response when accepting or rejecting an Order for business reasons. An Application Response that is issued with reference to an Order does not, therefore, indicate that the Order has been accepted or rejected for business reasons, but only that the Order document has been received or that it cannot be read. This also applies to the OrderChange document.

### 3.4 usage

Acceptance or rejection of a document for technical reasons always applies to



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the entire document.

Application Response is also always used in its entirety; never only at line level.

Application Response may relate to an entire document or to parts of a document (lines). It may be that response at document level is the only logical response as is the case with Invoice and Credit Note. Other documents, such as Catalogue documents may be subject to partial acceptance or rejection.

The distinction between document and line level acceptance or rejection is specified at document level in the Application Response itself. The governing rule for Application Response is that the Response Code at document level applies to all lines unless overridden by a different Response Code at line level.

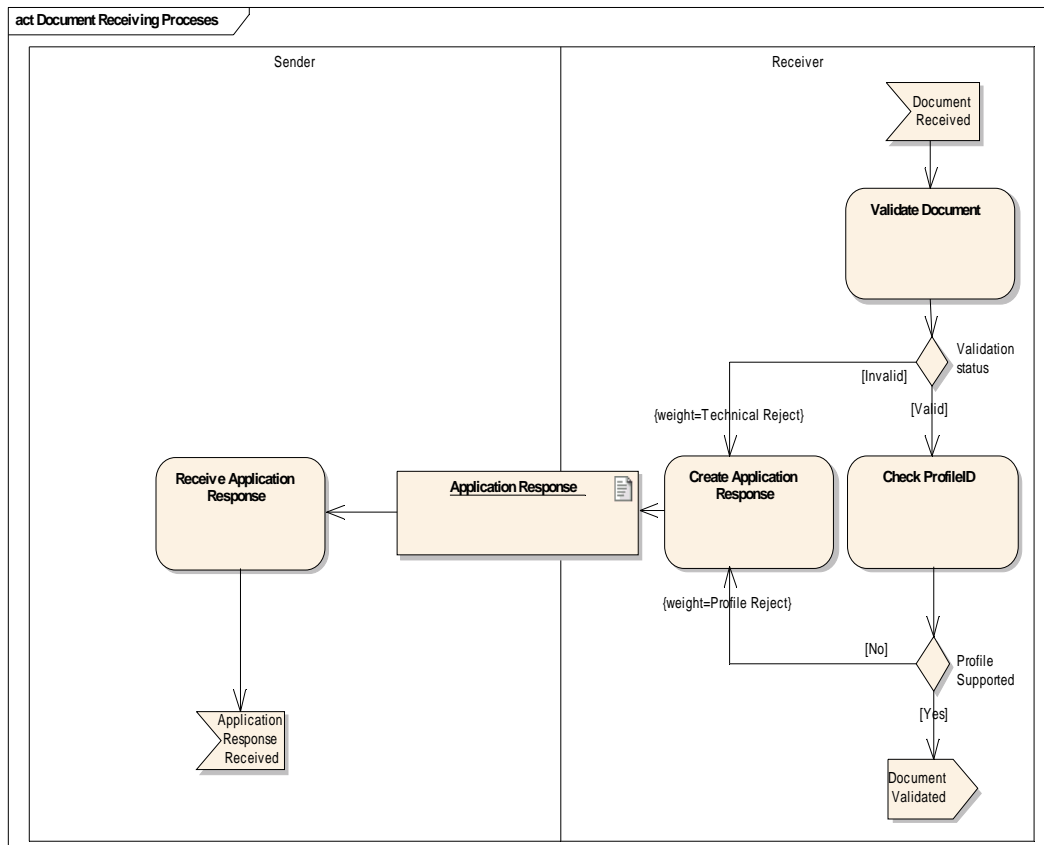
Line Response Codes can only be at a business level.

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### 4 Application Response processing

#### 4.1 document receiving process

The following process illustrates the technical flow involved in validating any received document, even the Application Response document itself.



#### 4.2 response

The following process illustrates how the Application Response document is processed. Upon receipt of an Application Response, the Response Code is checked in order to determine whether it is an 'Accept' or a 'Reject' code.

If it is an 'Accept' code, the document is processed depending on the acceptance type in question. If it is a 'Reject' code, the type of reject code is determined. If it is a Technical Reject, the received document is invalid, and the error must be corrected by the sender.

If it is a Profile Reject, the recipient simply does not support the specified profile and is, therefore, incapable of reading the document. The error must be

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corrected by the sender.

If the document is rejected for business reasons, the reason for the rejection is processed, and the continued processing of the document is determined based on the rejection reason.

